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Appln. Trans.
PATENT

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13380 U.S. PTO
02/09/98

UTILITY PATENT
APPLICATION
TRANSMITTAL

(Only for new nonprovisional
applications under 37 CFR 1.53(b))

Attorney Docket No. A29823FWC-B

First Named Inventor Joseph F. Traub

Express Mail Label No. EE 053 884 073 US

February 9, 1998

BY EXPRESS MAIL

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

Sir:

Enclosed herewith for filing is a patent application of

Joseph F. Traub, Spassimir Paskov, Irwin F. Vanderhoof, Anargyros Papageorgiou

entitled

PORTFOLIO STRUCTURING USING LOW-DISCREPANCY DETERMINISTIC SEQUENCES

which includes:

☒ Specification 31 Total Pages

☒ Drawing(s) 8 Total Sheets

☐ Combined Declaration and Power of Attorney

☐ Newly executed (original or copy)

☐ Copy from a prior application

(for continuation/divisional only - must be filed to avoid surcharge for late filing)

☐ Continuation ☐ Divisional ☒ Continuation-In-Part (CIP)
of prior application No. 08/902,921 filed July 30, 1997

☒ An Assignment of the invention to The Trustees of Columbia University in the City of New York
☐ is attached. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
☒ will follow.

☒ Small Entity Statement(s)

☒ Small Entity Statement filed in prior application No. 08/285,902 filed August 4, 1994. Status still
proper and desired.

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Attorney Docket No. A29823FWC-B

☐ Information Disclosure Statement (IDS) PTO-1449

☐ Copies of IDS Citations.

☒ Return Receipt Postcard

☐ Other _____

The filing fee has been calculated as shown below:

FOR	(Col. 1) No. Filed			(Col. 2) No. Extra			Small Entity Rate	Fee	OR	Other Than A Small Entity Rate			Fee
Basic Fee								\$395					
Total Claims	18	-20	=	0			x \$11=	\$0		x \$22 =			\$0
Ind. Claims	3	-3	=	0			x \$41 =	\$0		x \$82 =			\$0
Multiple Dependent Claim				0			+ \$135 =	\$0		+\$270=			\$0
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Fee Payment Being Made:

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☒ Basic filing fee \$395.00

☐ Recording Assignment \$0.00
[\$40.00; 37 CFR 1.21(h)]

Total Fees Enclosed \$395.00

☒ A check in the amount of \$395.00 to cover filing fee and assignment recordation fee is enclosed.

☒ The Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR 1.16, 1.17, and 1.21(h) associated with this communication or credit any overpayment to Deposit Account No. 02-4377. Two copies of this sheet are enclosed.

BAKER & BOTTS, L.L.P.

By Peter A. Businger
Peter A. Businger

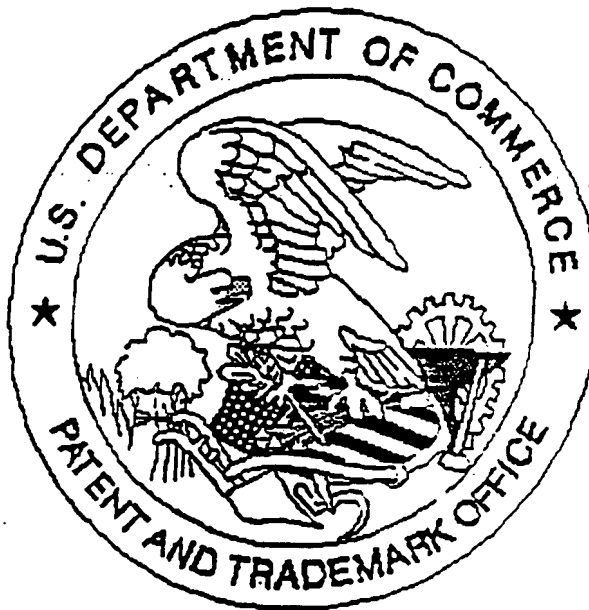
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Enclosures

09020733.020993

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